

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

JAMES CONTANT, MARTIN-HAN TRAN,  
CARLOS GONZALEZ, UGNIUS MATKUS,  
JERRY JACOBSON, and PAUL VERMILLION,  
on behalf of themselves and all others similarly  
situated,

Plaintiffs,

v.

BANK OF AMERICA CORPORATION; BANK  
OF AMERICA, N.A.; MERRILL LYNCH,  
PIERCE, FENNER & SMITH INC.; THE BANK  
OF TOKYO MITSUBISHI UFJ LTD.;  
BARCLAYS BANK PLC; BARCLAYS  
CAPITAL INC.; BNP PARIBAS GROUP; BNP  
PARIBAS NORTH AMERICA, INC.; BNP  
PARIBAS SECURITIES CORP.; BNP PARIBAS  
PRIME BROKERAGE, INC.; CITIGROUP  
INC.; CITIBANK, N.A.; CITICORP;  
CITIGROUP GLOBAL MARKETS INC.;  
CREDIT SUISSE GROUP AG; CREDIT  
SUISSE AG; CREDIT SUISSE SECURITIES  
(USA) LLC; DEUTSCHE BANK AG;  
DEUTSCHE BANK SECURITIES INC.; THE  
GOLDMAN SACHS GROUP, INC.;  
GOLDMAN, SACHS & CO.; HSBC  
HOLDINGS PLC; HSBC BANK PLC; HSBC  
NORTH AMERICA HOLDINGS, INC.; HSBC  
BANK USA, N.A.; HSBC SECURITIES (USA)  
INC.; JPMORGAN CHASE & CO.;  
JPMORGAN CHASE BANK, N.A.; MORGAN  
STANLEY; MORGAN STANLEY & CO., LLC;  
MORGAN STANLEY & CO.  
INTERNATIONAL PLC; RBC CAPITAL  
MARKETS LLC; ROYAL BANK OF  
SCOTLAND GROUP PLC; RBS SECURITIES  
INC.; SOCIÉTÉ GÉNÉRALE S.A.; STANDARD  
CHARTERED BANK; UBS AG; UBS GROUP  
AG; and UBS SECURITIES LLC;

Defendants.

Case No. 17-cv-03139

**RULE 7.1 CORPORATE DISCLOSURE STATEMENT**

Pursuant to Federal Rule of Civil Procedure 7.1, Defendants The Goldman Sachs Group, Inc. (“GS Group”) and Goldman Sachs & Co. LLC, by their undersigned counsel, state as follows:

GS Group is a corporation organized under the laws of Delaware, and its shares are publicly traded on the New York Stock Exchange. GS Group has no parent corporation, and to the best of GS Group’s knowledge, no publicly held company owns 10% or more of the common stock of GS Group. Goldman Sachs & Co. LLC is a wholly-owned subsidiary of GS Group, except for de minimis non-voting, non-participating interests held by unaffiliated broker-dealers.

Dated: New York, New York  
June 1, 2017

Respectfully submitted,

CLEARY GOTTLIEB STEEN & HAMILTON LLP

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*Attorney for Defendants The Goldman Sachs Group, Inc. and Goldman Sachs & Co. LLC*